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PATENT COOPERATION TREATY

NOVERA OPTICS, INC
005489 PCT4PCT

MAY 30 2002

WILSON, SONSINI,
GOODRICH & ROSATI
INTERNATIONAL SEARCHING AUTHORITY

PCT

NOTIFICATION OF TRANSMITTAL OF
THE INTERNATIONAL SEARCH REPORT
OR THE DECLARATION

(PCT Rule 44.1)

To:
WILSON SONSINI GOODRICH & ROSATI
Attn: Davis, Paul
650 Page Mill Road
Palo Alto, CA 94304-1050
UNITED STATES OF AMERICA

Date of mailing
(day/month/year) 29/05/2002

Applicant's or agent's file reference
21501-750

FOR FURTHER ACTION See paragraphs 1 and 4 below

International application No.
PCT/US 01/15730

International filing date
(day/month/year) 15/06/2001

Applicant
NOVERA OPTICS, INC.

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN
LOS ANGELES

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1. ☒ The applicant is hereby notified that the International Search Report has been established and is transmitted herewith

Filing of amendments and statement under Article 19:

The applicant is entitled, if he so wishes, to amend the claims of the International Application (see Rule 46).

When? The time limit for filing such amendments is normally 2 months from the date of transmittal of the International Search Report; however, for more details, see the notes on the accompanying sheet.

Where? Directly to the International Bureau of WIPO
34, chemin des Colombettes
1211 Geneva 20, Switzerland
Facsimile No.: (41-22) 740.14.35

JUN 10 2002

For more detailed instructions, see the notes on the accompanying sheet.

2. ☐ The applicant is hereby notified that no International Search Report will be established and that the declaration under Article 17(2)(a) to that effect is transmitted herewith.

3. ☐ **With regard to the protest** against payment of (an) additional fee(s) under Rule 40.2, the applicant is notified that:

☐ the protest together with the decision thereon has been transmitted to the International Bureau together with the applicant's request to forward the texts of both the protest and the decision thereon to the designated Offices.

☐ no decision has been made yet on the protest; the applicant will be notified as soon as a decision is made.

4. **Further action(s):** The applicant is reminded of the following:

Shortly after **18 months** from the priority date, the international application will be published by the International Bureau. If the applicant wishes to avoid or postpone publication, a notice of withdrawal of the international application, or of the priority claim, must reach the International Bureau as provided in Rules 90bis.1 and 90bis.3, respectively, before the completion of the technical preparations for international publication.

Within **19 months** from the priority date, a demand for international preliminary examination must be filed if the applicant wishes to postpone the entry into the national phase until 30 months from the priority date (in some Offices even later).

Within **20 months** from the priority date, the applicant must perform the prescribed acts for entry into the national phase before all designated Offices which have not been elected in the demand or in a later election, and the applicant must elect the priority date or could not be elected because they are not bound by Chapter II.

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Name and mailing address of the International Searching Authority
European Patent Office, P.B. 5818 Patentaan 2
NL-2280 HV Rijswijk
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,
Fax: (+31-70) 340-3016

Authorized officer

Christoph Stuckart
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN
SUNNYVALE
MAIL ROOM

JUN 03 2002

NOTES TO FORM PCT/ISA/220

These Notes are intended to give the basic instructions concerning the filing of amendments under article 19. The Notes are based on the requirements of the Patent Cooperation Treaty, the Regulations and the Administrative Instructions under that Treaty. In case of discrepancy between these Notes and those requirements, the latter are applicable. For more detailed information, see also the PCT Applicant's Guide, a publication of WIPO.

In these Notes, "Article", "Rule", and "Section" refer to the provisions of the PCT, the PCT Regulations and the PCT Administrative Instructions respectively.

INSTRUCTIONS CONCERNING AMENDMENTS UNDER ARTICLE 19

The applicant has, after having received the international search report, one opportunity to amend the claims of the international application. It should however be emphasized that, since all parts of the international application (claims, description and drawings) may be amended during the international preliminary examination procedure, there is usually no need to file amendments of the claims under Article 19 except where, e.g. the applicant wants the latter to be published for the purposes of provisional protection or has another reason for amending the claims before international publication. Furthermore, it should be emphasized that provisional protection is available in some States only.

What parts of the international application may be amended?

Under Article 19, only the claims may be amended.

During the international phase, the claims may also be amended (or further amended) under Article 34 before the International Preliminary Examining Authority. The description and drawings may only be amended under Article 34 before the International Examining Authority.

Upon entry into the national phase, all parts of the international application may be amended under Article 28 or, where applicable, Article 41.

When?

Within 2 months from the date of transmittal of the international search report or 16 months from the priority date, whichever time limit expires later. It should be noted, however, that the amendments will be considered as having been received on time if they are received by the International Bureau after the expiration of the applicable time limit but before the completion of the technical preparations for international publication (Rule 46.1).

Where not to file the amendments?

The amendments may only be filed with the International Bureau and not with the receiving Office or the International Searching Authority (Rule 46.2).

Where a demand for international preliminary examination has been filed, see below.

How?

Either by cancelling one or more entire claims, by adding one or more new claims or by amending the text of one or more of the claims as filed.

A replacement sheet must be submitted for each sheet of the claims which, on account of an amendment or amendments, differs from the sheet originally filed.

All the claims appearing on a replacement sheet must be numbered in Arabic numerals. Where a claim is cancelled, no renumbering of the other claims is required. In all cases where claims are renumbered, they must be renumbered consecutively (Administrative Instructions, Section 205(b)).

The amendments must be made in the language in which the international application is to be published.

What documents must/may accompany the amendments?

Letter (Section 205(b)):

The amendments must be submitted with a letter.

The letter will not be published with the international application and the amended claims. It should not be confused with the "Statement under Article 19(1)" (see below, under "Statement under Article 19(1)").

The letter must be in English or French, at the choice of the applicant. However, if the language of the international application is English, the letter must be in English; if the language of the international application is French, the letter must be in French.

NOTES TO FORM PCT/ISA/220 (continued)

The letter must indicate the differences between the claims as filed and the claims as amended. It must, in particular, indicate, in connection with each claim appearing in the international application (it being understood that identical indications concerning several claims may be grouped), whether

- (i) the claim is unchanged,
- (ii) the claim is cancelled,
- (iii) the claim is new,
- (iv) the claim replaces one or more claims as filed,
- (v) the claim is the result of the division of a claim as filed

The following examples illustrate the manner in which amendments must be explained in the accompanying letter:

- 1 [Where originally there were 48 claims and after amendment of some claims there are 51]
"Claims 1 to 29, 31, 32, 34, 35, 37 to 48 replaced by amended claims bearing the same numbers; claims 30, 33 and 36 unchanged; new claims 49 to 51 added."
- 2 [Where originally there were 15 claims and after amendment of all claims there are 11].
"Claims 1 to 15 replaced by amended claims 1 to 11."
- 3 [Where originally there were 14 claims and the amendments consist in cancelling some claims and in adding new claims]
"Claims 1 to 6 and 14 unchanged; claims 7 to 13 cancelled; new claims 15, 16 and 17 added." or
"Claims 7 to 13 cancelled; new claims 15, 16 and 17 added; all other claims unchanged."
- 4 [Where various kinds of amendments are made]
"Claims 1-10 unchanged; claims 11 to 13, 18 and 19 cancelled; claims 14, 15 and 16 replaced by amended claim 14; claim 17 subdivided into amended claims 15, 16 and 17; new claims 20 and 21 added."

"Statement under article 19(1)" (Rule 46.4)

The amendments may be accompanied by a statement explaining the amendments and indicating any impact that such amendments might have on the description and the drawings (which cannot be amended under Article 19(1)).

The statement will be published with the international application and the amended claims.

It must be in the language in which the international application is to be published.

It must be brief, not exceeding 500 words if in English or if translated into English.

It should not be confused with and does not replace the letter indicating the differences between the claims as filed and as amended. It must be filed on a separate sheet and must be identified as such by a heading, preferably by using the words "Statement under Article 19(1)".

It may not contain any disparaging comments on the international search report or the relevance of citations contained in that report. Reference to citations, relevant to a given claim, contained in the international search report may be made only in connection with an amendment of that claim.

Consequence if a demand for international preliminary examination has already been filed

If, at the time of filing any amendments under Article 19, a demand for international preliminary examination has already been submitted, the applicant must preferably, at the same time of filing the amendments with the International Bureau, also file a copy of such amendments with the International Preliminary Examining Authority (see Rule 62.2(a), first sentence).

Consequence with regard to translation of the international application for entry into the national phase

The applicant's attention is drawn to the fact that, where upon entry into the national phase, a translation of the claims as amended under Article 19 may have to be furnished to the designated/elected Offices, instead of, or in addition to, the translation of the claims as filed.

For further details on the requirements of each designated/elected Office, see Volume II of the PCT Applicant's Guide.

PATENT COOPERATION TREATY

PCT

INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

Applicant's or agent's file reference 21501-750	FOR FURTHER ACTION see Notification of Transmittal of International Search Report Form PCT/ISA/220 as well as, where applicable, item 5 below	
International application No. PCT/US 01/ 15730	International filing date (day month year) 15/06/2001	Earliest Priority Date (day month year) 23/05/2000
Applicant NOVERA OPTICES, INC.		

This International Search Report has been prepared by this International Searching Authority and is transmitted to the applicant according to Article 18. A copy is being transmitted to the International Bureau.

This International Search Report consists of a total of 4 sheets.

☒ It is also accompanied by a copy of each prior art document cited in this report.

1. Basis of the report

- a. With regard to the **language**, the international search was carried out on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.

☐ the international search was carried out on the basis of a translation of the international application furnished to this Authority (Rule 23.1(b)).

- b. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international search was carried out on the basis of the sequence listing:

☐ contained in the international application in written form.

☐ filed together with the international application in computer readable form.

☐ furnished subsequently to this Authority in written form.

☐ furnished subsequently to this Authority in computer readable form.

☐ the statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.

☐ the statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

2. ☐ **Certain claims were found unsearchable** (See Box I).

3. ☐ **Unity of invention is lacking** (see Box II).

4. With regard to the **title**,

☐ the text is approved as submitted by the applicant.

☒ the text has been established by this Authority to read as follows.

GAIN FLATTENING TUNABLE OPTICAL FILTER

5. With regard to the **abstract**,

☐ the text is approved as submitted by the applicant.

☒ the text has been established, according to Rule 38.2(b), by this Authority as it appears in Box III. The applicant may, within one month from the date of mailing of this international search report, submit comments to this Authority.

6. The figure of the **drawings** to be published with the abstract is Figure No.

☐ as suggested by the applicant.

☒ because the applicant failed to suggest a figure.

☐ because this figure better characterizes the invention.

11

☐ None of the figures

INTERNATIONAL SEARCH REPORT

International application No

PCT/US 01/15730

Box III TEXT OF THE ABSTRACT (Continuation of item 5 of the first sheet)

An optical apparatus includes an optical fiber (13). A plurality of individual optical fiber deformation structures, comprising e.g. acoustic wave propagation members (18) and acoustic wave generators (24), are positioned adjacent along a length of the optical fiber. Each of an individual optical fiber deformation structure introduces a mechanical or index deformation of a portion of the optical fiber (36) (e.g. by a flexural acoustic wave) to create perturbations in the optical modes in the fiber and provide a coherent coupling between two modes in the optical fiber. This apparatus provides a wavelength tunable bandpass filter (e.g. acousto-optic tunable filter, AOTF) and can be used to recover the gain flatness of erbiumdoped fiber amplifiers (EDFA) or as add/drop filter.

INTERNATIONAL SEARCH REPORT

International Application No.

PCT/US 01/15730

A. CLASSIFICATION OF SUBJECT MATTER

IPC 7 G02F1/01 G02F1/125 G02F1/11 H04J14/02 H01S3/067
G02B6/14

According to International Patent Classification: Prior art to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (Classification System followed by Classification Symbols)

IPC 7 G02F G02B

Documentation searched (other than minimum documentation to the extent that such documents are included in the fields searched)

Electronic data base consulted during the international search (name of data base and where practical search terms used)

EPO-Internal, WPI Data, PAJ, IBM-TDB, INSPEC, COMPENDEX

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category	Citation of document with indication where appropriate of the relevant passages	Relevant to claim No.
X	EP 0 144 190 A (UNIV LELAND STANFORD JUNIOR) 12 June 1985 (1985-06-12) page 22, line 30 -page 23, line 5; figures 3A,7	1-7.9.12
A	XU M G ET AL: "TUNABLE FIBRE BANDPASS FILTER BASED ON A LINEARLY CHIRPED FIBRE BRAGG GRATING FOR WAVELENGTH DEMULTIPLEXING" ELECTRONICS LETTERS, IEE STEVENAGE, GB, vol. 32, no. 20, 26 September 1996 (1996-09-26), pages 1918-1919, XP000637908 ISSN: 0013-5194 page 1919, right-hand column; figure 1 --- -/--	1.4.6.9. 24.32.39



Further documents are listed in the continuation of box C



Patent family members are listed in annex

Special categories of cited documents

- *A* document defining the general state of the art which is not considered to be of particular relevance
- *E* earlier document but published on or after the international filing date
- *L* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- *O* document referring to an oral disclosure, use, exhibition or other means
- *P* document published prior to the international filing date but later than the priority date claimed

T later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

X document of particular relevance, the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

Y document of particular relevance, the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art

8 document member of the same patent family

Date of the actual completion of the international search

25 April 2002

Date of mailing of the international search report

29/05/2002

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2
NL - 2280 HV Rijswijk
Tel (+31-70) 340-2040 Tx 31 651 epo nl
Fax (+31-70) 340-3016

Authorized officer

Stang, I

INTERNATIONAL SEARCH REPORT

International Application No

PCT/US 01/15730

C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category	Citation of document with indication where appropriate of the relevant passages	Relevant to Claim No
A	DE 34 30 766 A (SIEMENS AG) 6 March 1986 (1986-03-06) page 6, line 20 -page 8 ---	1-9, 11, 12, 14, 17-20
A	EP 0 143 583 A (UNIV LELAND STANFORD JUNIOR) 5 June 1985 (1985-06-05) page 10, line 14 -page 11, line 30 page 31, line 30 -page 33, line 7; figures 2, 3, 14 ---	1-3, 6, 9, 13, 17-21, 24, 25, 32, 35-39
A	EP 0 221 560 A (AMERICAN TELEPHONE & TELEGRAPH) 13 May 1987 (1987-05-13) page 9, line 7 -page 13, line 30 page 14, line 28 -page 17, line 13; figures 1, 4, 7, 8 -----	1-9, 15-20, 39

INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PCT/US 01/15730

Patent document cited in search report		Publication date	Patent family member(s)	Publication date
EP 0144190	A	12-06-1985	US 4684215 A	04-08-1987
			AT 86764 T	15-03-1993
			AU 3594284 A	06-06-1985
			BR 8406080 A	24-09-1985
			CA 1249657 A1	31-01-1989
			DE 3486093 D1	15-04-1993
			DE 3486093 T2	30-09-1993
			EP 0144190 A2	12-06-1985
			IL 73546 A	29-04-1988
			JP 1803304 C	26-11-1993
			JP 5007691 B	29-01-1993
			JP 60227227 A	12-11-1985
			KR 9206589 B1	10-08-1992
			NO 844794 A	31-05-1985
			US 4792207 A	20-12-1988
DE 3430766	A	06-03-1986	DE 3430766 A1	06-03-1986
EP 0143583	A	05-06-1985	AT 110856 T	15-09-1994
			AU 3594184 A	06-06-1985
			BR 8406079 A	17-09-1985
			CA 1259510 A1	19-09-1989
			DE 3486343 D1	06-10-1994
			DE 3486343 T2	27-04-1995
			EP 0143583 A2	05-06-1985
			JP 60134206 A	17-07-1985
			KR 9206592 B1	10-08-1992
			NO 844793 A	31-05-1985
			US 4801189 A	31-01-1989
			US 4768851 A	06-09-1988
EP 0221560	A	13-05-1987	US 4749248 A	07-06-1988
			CA 1243078 A1	11-10-1988
			CN 86107169 A	15-07-1987
			DE 3687944 D1	15-04-1993
			DE 3687944 T2	16-09-1993
			EP 0221560 A2	13-05-1987
			JP 2112005 C	21-11-1996
			JP 8003567 B	17-01-1996
			JP 62109011 A	20-05-1987
			KR 9509564 B1	24-08-1995